

Practitioner's Docket No. 23370-711

#3

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: David C. Moshal, et al.

Group No.: 2164

Serial No.: 09/821,780

Examiner: Not Yet Assigned

Filed: March 28, 2001

For: Universal System for Conducting Exchanges Over a Network

Commissioner for Patents
Washington, D.C. 20231

COMPLETION OF FILING REQUIREMENTS—NONPROVISIONAL APPLICATION

- I. This replies to the Notice to File Missing Parts of Application (PTO-1533) mailed May 10, 2001. A copy of the Notice to File Missing Parts of Application—Filing Date Granted (Form PTO-1533) is enclosed.

DECLARATION OR OATH AND ASSIGNMENT

- II. No declaration or oath was filed. Enclosed is the original declaration or oath for this application. Also enclosed is a Recordation Form Cover Sheet and Assignment for this application.

SUBSTITUTE DRAWINGS

- III. Enclosed are Substitute Drawings in compliance with 37 CFR 1.84.

COMPLETION FEES

1. Filing Fee: Original patent application (37 C.F.R. 1.16(a))	\$ 710.00
2. Fee for Claims: Each claim in excess of 20 (37 C.F.R. 1.16(c))	\$ 612.00
3. Fee for Claims: Each independent claim in excess of 3 (37 C.F.R. 1.16(b))	\$ 80.00
4. Surcharge Fee: Late payment of filing fee (37 C.F.R. 1.16(e))	\$ 130.00
5. Assignment (See "ASSIGNMENT COVER SHEET".)	\$ 40.00
6. Total completion fees	\$ 1,572.00

EXTENSION OF TIME

- IV. Applicant believes that no extension of term is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition and fee for extension of time.
Fee Due: \$0

REQUEST FOR CORRECTED FILING RECEIPT

- V. Attached is a copy of the official filing receipt for which issuance of a corrected filing receipt is respectfully requested. There are errors with respect to the following, which are incorrectly entered.

Error in

Correct data

- | | |
|------------------------------------|---|
| 1. Applicant name and/or addresses | -David C. Moshal, San Francisco, CA; Makarand R. Gokhale, Sunnyvale, CA; Michael A. Lenz, Mountain View, CA; John A. Mount, San Francisco, CA; Lonnie J. Eldridge, San Mateo, CA. |
|------------------------------------|---|

At least one of the above corrections is due to applicant's error and the fee under 37 C.F.R. 1.19(h), of \$25.00 applies.

TOTAL FEE DUE

- VI. The total fee due is: Completion fees \$ 1,572.00 Corrected Filing Receipt Fees \$25.00

TOTAL FEE DUE \$ 1,597.00

PAYMENT OF FEES

- VII. Charge Account No. 23-2415 (23370-711) in the amount of \$ 1,597.00.
Please charge Account No. 23-2415 (23370-711) for any fees that may be due by this paper.

Richard L. Gregory, Jr., Reg. No. 42,607

Wilson Sonsini Goodrich & Rosati
650 Page Mill Road
Palo Alto, CA 94304
(650) 493-9300
Customer No. 021971



Please type a plus sign (+) inside this box



#3

PTO/SB/01 (12-97)

Approved for use through 9/30/00. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**DECLARATION FOR UTILITY OR
DESIGN
PATENT APPLICATION
(37 CFR 1.63)**

☐ Declaration Submitted with Initial Filing OR ☒ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16(e)) required)

Attorney Docket Number	23370-711
First Named Inventor	David C. Moshal
COMPLETE IF KNOWN	
Application Number	09/821,780
Filing Date	March 28, 2001
Group Art Unit	Not Yet Assigned
Examiner Name	Not Yet Assigned

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

UNIVERSAL SYSTEM FOR CONDUCTING EXCHANGES OVER A NETWORK

(Title of the Invention)

the specification of which
☐ is attached hereto
OR

☒ was filed on (MM/DD/YYYY)

03/28/2001

as United States Application Number or PCT International

Application Number 09/821,780 and was amended on (MM/DD/YYYY) ☐ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/028 attached hereto:

I hereby claim the benefit under 35 U.S.C. 119(h) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)	<input type="checkbox"/> Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/028 attached hereto.
60/192,533	03/28/2000	

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Burden Hour Statement: This form is estimated to take 0.4 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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PTO/SB/01 (12-97)

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DECLARATION — Utility or Design Patent Application

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of the application is not designated in the prior United States or PCT international application in the manner provided by the first paragraph of 31 U.S.C. 112. I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)

☐ Additional U.S. or PCT international application numbers are listed on a supplemental priority data sheet PTO/SB/028 attached hereto.

As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: ☒ Customer Number 021971 

Place Customer Number Bar Code Label here

OR

☐ Registered practitioner(s) name/registration number listed below

Name	Registration Number	Name	Registration Number

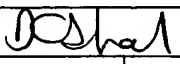
☐ Additional registered practitioner(s) named on supplemental Registered Practitioner Information sheet PTO/SB/02C attached hereto.

Direct all correspondence to: ☒ Customer Number or Bar Code Label 021971 OR ☐ Correspondence address below

Name	Richard L. Gregory, Jr.				
Address	Wilson Sonsini Goodrich & Rosati				
Address	650 Page Mill Road				
City	Palo Alto	State	CA	ZIP	94304
Country	U.S.	Telephone	650-493-9300	Fax	650-493-6811

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name of Sole or First Inventor: ☐ A petition has been filed for this unsigned inventor

Given Name (first and middle (if any))			Family Name or Surname				
David Clive			Moshal				
Inventor's Signature					Date	4/18/01	
Residence: City	San Francisco	State	California	Country	USA	Citizenship	South Africa
Post Office Address	1855 Pacific Avenue #205						
Post Office Address							
City	San Francisco	State	California	ZIP	94109	Country	USA

☒ Additional inventors are being named on the Two (2) supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto:



Please Type a plus sign (+) inside this box →



PTO/SB/02A (3-97)

Approved for use through 9/30/98, OMB 0651-0032

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DECLARATION	ADDITIONAL INVENTOR(S) Supplemental Sheet Page <u>1</u> of <u>2</u>
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Name of Additional Joint Inventor, if any:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle (if any))				Family Name or Surname			
Makarand R.				Gokhale			
Inventor's Signature				Date		4/18/01	
Residence: City		Sunnyvale		State		California	
		Country		USA		Citizenship	
						Indian	
Post Office Address		1311 Elsona Drive					
Post Office Address							
City		Sunnyvale		State		California	
		ZIP		94087		Country	
						USA	
Name of Additional Joint Inventor, if any:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle (if any))				Family Name or Surname			
Michael Ames				Lenz			
Inventor's Signature				Date		4/18/01	
City		Mountain View		State		California	
		Country		USA		Citizenship	
						USA	
Post Office Address		1179 Judson Drive					
Post Office Address							
City		Mountain View		State		California	
		ZIP		94040		Country	
						USA	
Name of Additional Joint Inventor, if any:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle (if any))				Family Name or Surname			
John Arnold				Mount			
Inventor's Signature				Date		4-18-01	
City		San Francisco		State		California	
		Country		USA		Citizenship	
						USA	
Post Office Address		552 Melrose					
Post Office Address							
City		San Francisco		State		California	
		ZIP		94127		Country	
						USA	

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DECLARATION

ADDITIONAL INVENTOR(S)

Supplemental Sheet

Page 2 of 2

Name of Additional Joint Inventor, if any:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle (if any))				Family Name or Surname			
Lonnie Jackson				Eldridge			
Inventor's Signature		<i>Lonnie Jackson Eldridge</i>		Date		4/18/01	
Residence: City		San Mateo		State		California	
		Country				USA	
Post Office Address		1300 Palos Verdes Drive #9					
Post Office Address							
City		San Mateo		State		California	
		ZIP				94403	
		Country				USA	
Name of Additional Joint Inventor, if any:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle (if any))				Family Name or Surname			
Inventor's Signature				Date			
City				State			
		Country				Citizenship	
Post Office Address							
Post Office Address							
City				State			
		ZIP				Country	
Name of Additional Joint Inventor, if any:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle (if any))				Family Name or Surname			
Inventor's Signature				Date			
City				State			
		Country				Citizenship	
Post Office Address							
Post Office Address							
City				State			
		ZIP				Country	

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